



Staff Safety

2016 Annual Report to the Legislature

As required by RCW 72.09.680

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This report is the sixth annual report to the Legislature as directed by Engrossed Senate Bill 5907 (2011) and contains information on staff safety concerns and mitigation strategies completed by the Department of Corrections.

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Staff Safety

2016 Annual Report to the Legislature

Foreword

“It is the intent of the legislature to promote safe state correctional facilities. Following the tragic murder of Officer Jayme Biendl, the Governor and Department of Corrections requested the National Institute of Corrections to review safety procedures at the Monroe Reformatory. While the report found that Monroe Reformatory is a safe institution, it recommends changes that would enhance safety.

The legislature recognized that operating safe institutions requires ongoing efforts to address areas where improvements can be made to enhance the safety of state correctional facilities. This act addresses ways to increase safety at state correctional facilities and implements changes recommended in the report of the National Institute of Corrections.”

– Legislative Declaration, RCW 72.09.680 [2011 c 252 §1]

Executive Summary

Background

Following the murder of Officer Jayme Biendl in 2011, the National Institute of Corrections (NIC) was asked to review systems, policies, and procedures and submit recommendations to mitigate safety and security vulnerabilities at the Washington State Reformatory.

The NIC findings and recommendations led to the introduction of Engrossed Senate Bill 5907 (ESB 5907), at the request of Governor Gregoire, with the intent to promote safer prisons. ESB 5907 was signed into law (RCW 72.09) by the Governor on May 5, 2011.

Report Overview

The Department of Corrections (DOC) promotes a culture that encourages personal responsibility for safety and security; initiative in addressing security and safety concerns and deficiencies; and continual monitoring for safety and security improvements in all work areas, practices, procedures, policies and physical plant layout.

In this sixth annual report to the Governor and Legislature, DOC conveys the implementation status of legislative mandates to incorporate the recommendations made and its dedication to the safety of all employees, offenders, and members of the public.

Commitment to Safety

Washingtonians deserve and expect to be safe and protected in their communities, and this is a priority of Governor Inslee as recognized in Results Washington Goal 4: *Healthy and Safe Communities*. The DOC's highest priority is embedded in the mission to improve public safety and one of the key goals is safer operations. The DOC, using Results DOC, measures success related to safer operations with both outcome and process measures that include staff safety, offender safety, workforce development, ensuring safe environments, and managing emergencies. The DOC promotes a culture of safety and security and remains deeply committed to, and actively engaged in, improving employee, offender, and community safety.

The DOC employs staff from many disciplines to work with offenders in total and partial confinement facilities as well as within the community. Staff responsibilities include working with offenders in unpredictable and often dangerous settings. Despite great personal risk, staff continue to perform their duties with the utmost professionalism and pride. They do this because they believe in improving public safety and desire to work together for safer communities. Staff safety and facility security are disciplines that must be practiced by everyone at all times.

Prison Safety

Security Advisory Committees

The Security Advisory Committees are comprised of local and statewide committees that support and encourage staff to take the initiative in identifying and reporting staff safety concerns and facility security gaps, as well as furnish an avenue to address them.

DOC employees continue to suggest innovative solutions to everyday challenges and actively engage in the process to increase their own safety as well as the safety of others. The success of this approach can be attributed to the support received from all levels of the Department. By incorporating multidisciplinary staff from all classifications, the submittals are broad and diverse, the work is progressive and impactful, and the resolutions highly successful. Table 1 provides a summary of the suggestions submitted to date.

Table 1. Security Concerns & Suggestions

| Year | Total Received | Completed at Local Level | Referred Statewide | Completed Statewide |
|--------------|----------------|--------------------------|--------------------|---------------------|
| 2011 | 548 | 508 | 40 | 33 |
| 2012 | 714 | 689 | 39 | 19 |
| 2013 | 755 | 722 | 10 | 15 |
| 2014 | 501 | 469 | 12 | 9 |
| 2015 | 397 | 343 | 10 | 10 |
| 2016* | 368 | 189 | 34 | 12 |
| Total | 3,283 | 2,920 | 145 | 98 |

* As of October 2016

Local Security Advisory Committees

Local Security Advisory Committees are active in all 12 prisons and meet regularly. These committees are chaired by the senior facility security/custody staff (Captains or Lieutenants) and include employees from a variety of disciplines who review and discuss security concerns and suggestions that have been submitted locally.

When a local security suggestion is submitted by an employee to the facility's Security Specialist, the suggestion is then queued for review by the Local Security Advisory Committee. Using a facility-wide, multidisciplinary approach, the local committees examine each suggestion for not only the staff safety and security benefits that may be gained if the suggestion is implemented, but for any negative impacts it may generate in other areas of the facility.

Examples of submissions of local safety and security concerns at individual prisons that resulted in subsequent changes in practices in 2016 are summarized below:

- Restraint Holder – This local suggestion from Stafford Creek Corrections Center (SCCC) was to affix a restraint retainer holder on the outside of living unit holding cell doors. When an offender has been

restrained for escort to segregation, a wrist restraint retainer is often used to assist with restraint removal if the offender becomes noncompliant. Without a holder, employees must use one hand to maintain a grip on the retainer while removing the wrist restraints. This simple and low cost improvement benefits the safety and security of employees placing an offender in a holding cell and then removing them for the escort to segregation.

- Yard Gate Cuff Port – This local suggestion from Clallam Bay Corrections Center was to install a cuff port in the main recreation yard gate. During incidents in the recreation yard, offenders may be restrained and removed one at a time for escort to a secure area. Without a cuff port, the gate must be opened to allow a non-restrained offender to pass through for placement of restraints outside a contained area. With the cuff port installed, employees have the option to place restraints on offenders without opening the gate which increases staff safety and facility security.
- Door Locks – This local suggestion from Olympic Corrections Center was to replace the door locks in the correctional counselors' offices. The previous door locks used a key to lock/unlock the door from the outside, however, once inside the door could be locked by pushing a button (similar to a standard bedroom doorknob). The safety and security concerns were that an offender could enter a counselor's office and lock themselves and the counselor in by simply pushing the lock button. The request suggested the locks in the counselors' offices should be replaced with standard locks that do not have the push button locking mechanism and require a key to lock/unlock. The Local Security Advisory Committee fully supported the suggestion and the locks were ordered and installed by maintenance employees.

Each local committee's work has proven to be extremely effective. Even though a security suggestion may initially appear to offer safety improvements, committee members are able to examine the complex level of detail that involves multiple job classes and program areas to ensure there are no unintentional effects or other viable solutions. This vetting process has brought about a strong local commitment to safety and security through the exchange of ideas, involvement of all staff and program areas, and a better understanding of how each employee contributes to the safer operations of the facility.

Statewide Security Advisory Committee

In some cases, a Local Security Advisory Committee may determine a security suggestion might have statewide impact, requires a change to DOC policy, or the cost to implement the suggestion is beyond facility budget capacity. In these, as well as other situations, the suggestion is forwarded to the Statewide Security Advisory Committee for review and consideration.

The Statewide Security Advisory Committee meets quarterly to evaluate safety and security concerns and suggestions forwarded from local committees that may impact DOC policy or require legislative approval and funding. Committee work includes evaluating suggestions, making recommendations, and taking action on safety and security concerns affecting statewide policies and practices. In addition, the Statewide Security

Advisory Committee assist in the development of safety curriculum presented to staff as part of Annual In-Service training for the Prisons Division.

Examples of statewide safety and security concerns that resulted in statewide safety and security improvements in 2016 are summarized below:

- First Aid Training – A request from Monroe Correctional Complex was to consider allowing all employees access to first aid and CPR training. Although custody employees, offender worker supervisors, and health services employees are required to take both initial and refresher first aid training, the training was not routinely offered to all agency employees. The suggestion was to allow all employees access to first aid and CPR training during annual in-service training. The Statewide Security Advisory Committee reviewed the suggestion, determined the costs of additional training were minimal, and agreed to implement the suggestion statewide. As of August of 2016, all employees now have access, on a volunteer basis, to first aid and CPR training during annual in-service which increases the availability of trained employees throughout the facilities.
- Medical Verification Form - A request from Airway Heights Corrections Center was to revise the medical verification form used by health services staff to document any medication an offender is taking that may result in a false positive in urinalysis testing. Naproxen, an over the counter medication, was listed on the form due the belief that it caused false positives for marijuana. It is possible that offenders would request this medication to refute any positive urinalysis testing. The suggestion was to verify the medication does not cause a false positive for marijuana, and if so, should not be listed on the form. The Statewide Security Advisory Committee agreed this was a statewide concern and worked with the drug/alcohol testing program manager to verify with the testing laboratory whether not the medication caused false positives. It was verified the medication does not cause false positives and the form was revised to remove the medication.
- Offender Property Items - A request from Cedar Creek Correction Center was to issue, where possible, personal hygiene items in clear containers, specifically deodorant, due to the ease of hiding contraband in items employees are unable to easily search. In this case, several offenders had hidden methamphetamines in standard commissary deodorant containers. The suggestion was to source only clear containers, where possible, to decrease the potential of offenders to conceal contraband. This suggestion was not only implemented when clear deodorant containers were sourced, it lead to an expanded role for the Statewide Security Advisory Committee. Now, all new requests to include new or replacement property items, including religious items, are reviewed by members of the Statewide Security Advisory Committee for security concerns before being approved for offenders.

Each of the examples above represents the complex work involved in evaluating and reviewing suggestions submitted for statewide consideration. Members of the Statewide Security Advisory Committee review each suggestion in detail, may ask for additional information, or may need time to review with their local committee members or labor representatives before making a final recommendation. Meanwhile, security management staff are conducting similar in-depth reviews with other statewide program areas. This

statewide review may include information technology, religious programs, Correctional Industries, human resources, prisons leadership, or the budget office.

This complex, multidisciplinary process ensures each security suggestion that is implemented, as in the case of the examples noted for 2016, multiple staff and program areas have reviewed and agreed to support the suggestion. By the time a security suggestion is implemented, abundant sources of information have been consulted, numerous details have been worked out, and any potential negative impacts have been mitigated.

Staff Safety Performance Audit

In March of 2016, the Washington State Auditor's Office concluded a Performance Audit on Prisons Safety and Security that assessed whether DOC could do more to ensure the safety and security staff and facilities. The audit, conducted in 2015, was designed to answer the following questions:

- Does DOC's prison safety and security program meet widely accepted practices and standards, and in areas where it does not, why?
- Have recent changes in DOC's prison safety and security program improved the safety and security of prison staff?
- What information does DOC use to understand whether its program is improving prison staff safety and security and is the information adequate for managing the program?
- What additional changes could DOC make to improve the safety and security of prison staff?

The State Auditor's Office published a final report ("*Improving Staff Safety in Washington's Prisons*") which is available for public review at www.sao.wa.gov. Although the Auditor's Office suggests DOC should continue to refine staff safety practices throughout each of the 12 prisons, the final report notes:

"Washington's staff safety initiatives are innovative and unique. According to our experts, no other state has developed such an advanced and comprehensive group of initiatives focused on improving staff safety. They believe the safety initiatives...are all based on good correctional practices, have likely improved the safety and security of prison staff, and – if fully and consistently implemented – will continue to reduce the risk of harm to staff."

Immediately after receiving the final report, DOC began taking action to review each recommendation and formulate an Improvement Plan (Appendix A) to address each of 13 areas identified by the Auditor's Office for improvement. Many of the recommendations involve simply correcting gaps in policies and/or procedures and the majority of those either have been addressed or are in the final planning stages. However, a few of the recommendations required an in-depth analysis of possible solutions and may require legislative funding to implement as recommended.

It is anticipated that within a year of receiving the final report, DOC should be nearing completion of over 75% of the areas noted for improvement.

Prisons Division Training

Prison Safety Series Curriculum

The DOC promotes a culture that encourages personal responsibility for safety and security in prisons and has invested in extensive staff training programs. The DOC continues to develop curriculum adapted from *Keeping Prisons Safe, Transforming the Corrections Workplace*, C. Young, D. Pacholke, D. Schrum, and P. Young, (2014). The content, discussions, and activities delivered through annual in-service training target strategies for improving personal safety, the safety of others, and the safety and security of the work place. The previous lesson in this series focused on *Managing Complexity*, while the current lesson focuses on the *Second Story* (Appendix B). The concept of *Second Story* is to review incidents to not only reinforce best practices and note areas to improve, but examine the causal factors and pre-incident indicators that may have led to the incident itself.

Lesson Objectives are to:

- Recognize and compare events at the workplace concerning staff safety.
- Describe Second Story and the effects of staff safety on the workplace.
- Identify staff safety within the Department's Goals and Measures ([Strategic Plan](#) and [ResultsDOC](#) alignment).
- Practice analyzing an event and the circumstances leading up to an event.

The curriculum for this series was developed by a multidisciplinary team, reviewed by the Statewide Security Advisory Committee, and is being offered to all prison staff as a requirement per the Fiscal Year 2017 Annual Agency Training Plan (Appendix C).

Electronic Security Technology

Staff Accountability System

The Office of Security & Emergency Management is currently leading the efforts to create a standardized system to account for all employees within the secure perimeter at all facilities. The *electronic Facility Access and Control Tracking system (FACT)* (Appendix D) will collect, manage and track data regarding all employees, facility visitors, volunteers and contract staff who enter and exit facilities. This system will be able to account for persons within a facility in "real time" by reading a bar code embedded onto the identification card using a scanner connected to a networked computer system. The *FACT* system will improve accuracy and significantly reduce the amount of time it takes to conduct employee/person accountability procedures.

FACT is currently in the High Level Design (HLD) phase and being developed in house in partnership with local Information Technology (IT). The functional pilot is scheduled to be operational at Stafford Creek Corrections Center (SCCC) towards the latter half of 2017. The *FACT* system is currently the second highest priority on the Department's IT prioritization list and is fully endorsed by the Statewide Security Advisory Committee.

Radio Communications

- Rebanding activities have been completed at all facilities. Project is in the close out phase which includes summarizing project activities and reconciling timesheets for reimbursement negotiations.
- Secured another five Mutual Aid Agreements (MAA) with law enforcement jurisdictions to support the communications needs of the Department and increase staff and public safety when working in the community.
- Purchased, configured, and deployed numerous radios and accessories to facilities per funded allotments in the 2013-2015 biennium. In most cases, older radio systems are being deployed to support Community Corrections communication needs in the field.
- Submitted budget decision package for radio deployment per the State Auditor's Office recommendation that all employees/contract staff within the secure perimeter of each facility be issued and carry a radio. In conjunction, submitted and received approval from the State Interoperability Executive Committee (SIEC) for the acquisition of radios/equipment, add additional channels, and upgrade legacy systems.

Security Electronic Networks

- Developing global maintenance agreement for a service provider to support security electronic networks across the Department.
- Managing the numerous security electronic network projects in various stages of completion. From the expansion of video camera systems, to door and video control integration and replacements, to reviewing and identifying critical systems for upgrade prioritization, the enhancements being made to the security electronic networks have a direct impact on increasing staff safety and facility security.

Community Corrections Safety

The Community Corrections Division (CCD) continues to update policies and procedures aligned with the CCD evidence based supervision model. The ongoing review and implementation of changes is done with a focus on staff safety and office security while maintaining offender accountability.

Community Corrections Security Advisory Committee

The Statewide Community Corrections Security Advisory Committee continues to meet quarterly to evaluate safety and security concerns and suggestions that may affect department policy, budget, and workload. The committee is co-chaired by a CCD Program Administrator and a representative of the Washington Federation of State Employees. The committee membership is comprised of the CCD Security Specialist and employees from around the state and a variety of job classifications. The charge of the committee is to review and develop recommendations, propose solutions, and evaluate best practices related to staff safety and office security within CCD.

In February 2016, a charter was developed and a work group formed to increase the focus and visibility of the Community Corrections Security Advisory Committee. The effort was initiated with a division wide survey to elicit safety specific information from community corrections employees. Following the survey, nine focus groups were conducted at locations around the state. The purpose of the focus groups was to present the survey results and to solicit recommendations and possible solutions to address safety concerns. A majority of employees noted in survey responses and focus group conversations they are aware of the role of the committee, they have the safety equipment needed to do their job, and they have the training to safely perform tasks assigned.

Examples of 2016 submissions of statewide community corrections safety and security concerns that resulted in safety and security improvements are summarized below:

- Communications - CCDs primary communication device remains the issued smart phones which allows for greater connectivity to their work. The phones allow for communication through Outlook, locating offender addresses through mapping, as well as enhanced photography capabilities which assist in documenting evidence collected. As noted in responses to the survey/focus groups, communications remains a concern for staff while conducting fieldwork and transports. A budget request has been submitted by CCD to complete a study to evaluate the communication needs of the division, to include equipment needs and associated costs.
- WRAP Restraints - With the implementation of *Swift and Certain* sanctioning, CCD employees have seen increases in the frequency and length of offender transports due to local jail capacity issues. To enhance the safety of both employees and offenders, WRAP restraints (a humane body restraint system) have been purchased and will soon be deployed around the state. Employees are currently being trained in the application and use of this type of restraint.
- Trauma Kits - Personal trauma kits have been purchased for distribution to CCD employees working in the field. The purchase of these kits was in direct response to an employee's suggestion to be prepared in the event a shooting or other critical incident that may occur while working in the field.
- Search Gloves - CCD is in the process of purchasing Kevlar gloves for distribution to all employees. The Kevlar gloves will enhance the safety of staff while conducting offender searches.

Community Corrections Division Training

Training in community corrections continues with an emphasis on skills that increase positive engagement with offenders. The ability to engage offenders, and intervene in high-risk offender behaviors, promotes both staff and community safety.

Enhanced Emergency Management Training

CCD worked collaboratively with the Emergency Operations Unit (EOU) and the Training Development Unit (TDU) to develop enhanced Emergency Management Training for inclusion in annual in-service training. This training was historically only a two-hour training module and was revised to be delivered over an eight-hour timeframe. The curriculum covered an overview of the National Incident Management System/Incident

Command System (NIMS/ICS), Principles of Emergency Management, Tactical Verbal Skills, several scenarios to include bomb threat, medical emergency, armed intruder, and audio threat calls. Employees were also trained on how to protect/respond to an active shooter situation.

Critical Incident Response

Training was again delivered to Community Corrections Supervisors across the division regarding appropriate response to critical incidents that could occur as part of the daily operations of the division. Written materials were developed that offered step-by-step instruction regarding roles and responsibilities, necessary notifications, applicable policies, and a resource guide. The training materials focused on the safety, protection, and support of employees involved in critical incidents. Training was then conducted at an office level. Employees were provided information regarding what they could expect from their supervisor, and the division, if they were involved in a critical incident.

Appendix

Appendix A

Improvement Plan (SAO Performance Audit)

**Washington State Department of Corrections
Staff Safety Performance Audit (SAO)
Improvement Plan**

| Clarify staff accountability procedures | | |
|---|------------------------|-----------------------------------|
| <p>SAO Reported Noted:</p> <p><i>Although staff identified the new accountability procedures (such as sign-in/ sign-out, two-to-open/two-to-close, and staff accountability drills) as among the most effective initiatives, our experts think they could be improved.</i></p> | | |
| Improvement Plan | Review Complete | Anticipated Implementation |
| <ul style="list-style-type: none"> • A request for legislative funding to expand the proximity card accountability system was not forwarded to the OFM for the 2017-2019 budget. • Each facility has a staff accountability system and can account for staff in the event of an emergency. However, clarifying procedures in policy to increase compliance with expectations. • The Department is developing a local IT solution to enhance prisons staff accountability processes in the event of an emergency. The business requirements phase has been complete and is currently in the High Level Design (HLD) phase. Once the DOC system is operational, it is scheduled for a pilot at SCCC. | July 2016 | Fall 2017 |
| Requirements for non-custody staff to carry radios and equipment | | |
| <p>SAO Reported Noted:</p> <p><i>While Department policy requires custody staff to carry radios while on duty, it is unclear whether non-custody staff should be issued or be required to carry radios or other emergency communication equipment.</i></p> | | |

| Improvement Plan | Review Complete | Anticipated Implementation |
|---|-----------------|----------------------------|
| <ul style="list-style-type: none"> • Conducted a cost analysis for providing radios and duress alarms to all non-custody staff at each prison (\$4 million). Request for legislative funding was approved by SLT and submitted to OFM for consideration in 17-19 budget. • Clarifying policy requirements for non-custody staff that supervise offenders to carry a radio. Current policy states who is required to be provided a radio, however, many non-custody staff chose not to carry it. When radios are purchased and become available policy will be updated to require all staff to carry them while on duty. • Create a policy expectation for testing duress alarms. • Evaluated the feasibility of deploying pepper spray to non-custody staff. Purchased additional equipment, developing training, and implementation later this year. | September 2016 | Summer 2017 |
| Security specialist position expectations need clarification | | |
| <p>SAO Reported Noted:</p> <p><i>However, our experts observed some issues, including [security] specialists...performing duties that were outside their primary role.</i></p> | | |
| Improvement Plan | Review Complete | Anticipated Implementation |
| <ul style="list-style-type: none"> • Convene a stakeholder group to clarify the roles of the security specialists. • Update the position description to ensure clarity and standardization. • Discuss and clarify the security specialist roles and responsibilities with security specialists, captains, superintendents, and prisons leadership. • Updated the security suggestion database to provide an automatic notification to the submitter when any updates occur. • Directed security specialists to provide face-to-face to submitters at least once per month. • Before the report published, DOC had already implemented a bi-weekly teleconference and quarterly meeting for security specialists to share best practices and lessons learned. | September 2016 | November 2016 |

Place safety musters could be better utilized

SAO Reported Noted:

However, in alignment with staff feedback, our experts found opportunities to improve how the place safety musters are conducted

| Improvement Plan | Review Complete | Anticipated Implementation |
|--|---------------------|----------------------------|
| <ul style="list-style-type: none"> • A group of stakeholders has been identified and tasked with updating place safety musters including renewing facilitator training and developing training aids. • Included a discussion on place safety musters in FY17 annual in-service training. • Reviewing whether place safety muster facilitator training should be included in supervisor training curriculum. • Piloting a new place safety muster concept at AHCC. The pilot is being reviewed for inclusion in the updated policy. • Clarifying, through policy and practice, the intent of place safety musters is to provide a forum for work area staff to address safety and security concerns and should not be a facilitated using a top-down approach. | <p>October 2016</p> | <p>July 2017</p> |

Local security advisory committees

SAO Reported Noted:

Similarly, the experts observed that while the local security advisory committee meetings were well-attended, and included a broad group of individuals from multiple disciplines as the policy intended, the approaches to managing the security suggestion process varied by facility

| Improvement Plan | Review Complete | Anticipated Implementation |
|---|------------------|----------------------------|
| <ul style="list-style-type: none"> • Updated the security suggestion database to provide an automatic notification to the submitter when updates occur. • Directed security specialists to provide face-to-face to submitters at least once per month. • The security suggestion process is electronically maintained and regularly reviewed for accuracy, follow-up, and action. • The primary gap in local committee work was submitter follow-up and suggestion status which has been addressed. | <p>June 2016</p> | <p>October 2016</p> |

| | | |
|---|---|--|
| <ul style="list-style-type: none"> • Conducting a review of the prisons' safety and security advisory meetings to determine needed improvements in the communication process. • Increased internal communications related to staff safety topics including timely security alerts and a monthly security message. | | |
| Staff search policy is absent, and practices are inconsistent | | |
| <p>SAO Reported Noted:</p> <p><i>Even though the Department states all employees are subject to being searched upon entering a facility, the Department policies do not mandate that staff be searched as they enter the facilities.</i></p> | | |
| <p style="text-align: center;">Improvement Plan</p> | <p style="text-align: center;">Review Complete</p> | <p style="text-align: center;">Anticipated Implementation</p> |
| <ul style="list-style-type: none"> • As noted in the report, several facilities routinely conduct random staff searches and have implemented local procedures. • Developing policies and procedures to significantly increase random searches of staff and all persons entering a facility • Developing a standardized list of allowable items. • Working cooperatively with the statewide family council to increase visitor searches. | <p style="text-align: center;">October 2016</p> | <p style="text-align: center;">November 2016</p> |
| Cell searches are too infrequent and inconsistent across facilities | | |
| <p>SAO Reported Noted:</p> <p><i>The Department has not established a policy for cell searches at each of the custody levels, resulting in inconsistencies between and within facilities.</i></p> | | |

| Improvement Plan | Review Complete | Anticipated Implementation |
|---|-----------------|-----------------------------------|
| <ul style="list-style-type: none"> • Conducted a review of the policy requirements for the frequency of cell/area searches and gained stakeholder input. • Piloting an electronic system at AHCC that tracks cell and facility searches and provides visual progress reports. • Reviewed and discussed cell search frequency with security specialists, captains, superintendents, and prisons leadership. • Revising policy to require a consistent, standardized frequency for cell searches (every 60 days in general population housing). • Cell search guidelines clarified for all custody levels in DOC 420.320. Draft policy submitted to policy office in August 2016.. | July 2016 | December 2016 |
| Staffing model has not been updated | | |
| <p>SAO Reported Noted:</p> <p><i>The staffing model the Department uses is dated and inadequate for determining proper staffing needs.</i></p> | | |
| Improvement Plan | Review Complete | Anticipated Implementation |
| <ul style="list-style-type: none"> • Work in cooperation with the union to evaluate the best approach to seek legislative funding to conduct a staffing/workload audit. • Anticipate including an analysis of the requirements needed to re-establish “shift musters” in the staffing/workload audit. • Funding requests for staff model review that includes musters, staff searches, relief, etc., were approved and advanced to OFM for 17-19 budget consideration. | September 2016 | <i>Based on available funding</i> |

Control center access policy is inadequate

SAO Reported Noted:

Our experts noted current Department policies for managing facility control centers do not adequately state who is allowed to enter them and for what purpose

| Improvement Plan | Review Complete | Anticipated Implementation |
|--|-----------------|----------------------------|
| <ul style="list-style-type: none"> Although post orders and facility operational procedures address control center access, DOC will establish a policy governing control center access. | July 2016 | June 2017 |

Visibility is poor in some areas

SAO Reported Noted:

Almost every facility has one or more blind spots or areas of poor visibility where staff are unable to see and prevent offender rule-breaking or other harmful situations

| Improvement Plan | Review Complete | Anticipated Implementation |
|---|-----------------|--|
| <ul style="list-style-type: none"> To increase visibility and accountability, DOC has been adding additional camera equipment based on recommendations from a legislative mandated camera assessment. Received over \$30 million by the legislature for this effort. Currently several camera projects are underway, some in the installation phase and others in planning. In conjunction with the camera study, federal PREA requirements also direct the suggested placement of cameras and mirrors. Conducting a review of the need to establish policy language to clarify suggested/required camera placement. | September 2016 | <p><i>There are numerous projects underway and this effort is continual based on available funding</i></p> |

| Monitoring and auditing activities could be more focused | | |
|---|------------------------|--|
| <p>SAO Reported Noted:</p> <p><i>To further improve the evaluation of the effectiveness of the staff safety initiatives, the Department could better focus these internal audits and reviews on relevant safety related policies and procedures</i></p> | | |
| Improvement Plan | Review Complete | Anticipated Implementation |
| <ul style="list-style-type: none"> • As noted in the report, DOC has already taken action to increase the coordination of internal audits and reviews. • Implement an electronic corrective action plan database to continually track and report progress in addressing identified corrective actions. • The Corrective Action Tracking system (CATS) has been in use since the beginning of 2016. The Security Management Unit is working with the Results Unit to establish rules surrounding measuring the completion of Corrective Actions Plans (CAPs) associated with internal audits. • Developing additional staff safety specific audit tools, to focus on routine assessment of the ongoing implementation of safety initiatives. The implementation of these new audit tools will be timed after implementation activities are complete. | June 2016 | Dec. 2017 <i>(based on assessment schedule)</i> |
| Policies surrounding offender movement need improvement | | |
| <p>SAO Reported Noted:</p> <p><i>Better policies and procedures could help ensure all offenders, including those who are given permission to be somewhere they were not originally expected, are accounted for during movement periods.</i></p> | | |
| Improvement Plan | Review Complete | Anticipated Implementation |
| <ul style="list-style-type: none"> • Currently working with facility stakeholders to determine the specific gaps in the offender movement process. • Policy will be revised to close noted gaps and inconsistencies. | September 2016 | |
| Specific performance goals and measures | | |

SAO Reported Noted:

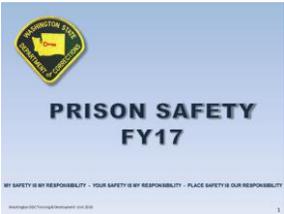
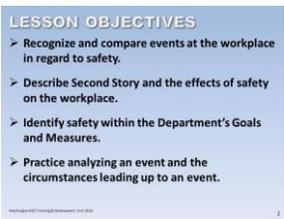
Enhance the Department's current approach to assessing the effectiveness of the staff safety initiatives and how well they have been implemented at facilities to provide additional opportunities for continual improvement.

| Improvement Plan | Review Complete | Anticipated Implementation |
|---|------------------------|-----------------------------------|
| <ul style="list-style-type: none">• Several performance measures specific to staff safety are monitored through Results DOC in alignment with Results Washington, including a specific goal council for safer operations.• Conducts an annual employee engagement survey with specific questions on staff safety.• Continue to refine Results DOC and explore additional performance measures specific to staff safety for inclusion in the performance measurement system. | June 2016 | Dec. 2016 |

Appendix B

Prisons Safety Curriculum: *Second Story*

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| Lesson Objectives: | | Performance Expectations |
| <ol style="list-style-type: none"> 1. Recognize and compare events at the workplace in regard to safety. 2. Describe Second Story and the effects of safety on the workplace. 3. Identify safety within the Department’s Goals and Measures. 4. Practice analyzing an event and the circumstances leading up to an event. | | <ul style="list-style-type: none"> • Complete and submit a security concern through the proper channels. • Determine the reverse engineering of key events to identify system weakness. |
| Instructional Aids: | Student Handouts: | NOOK Appendix Materials : |
| <ul style="list-style-type: none"> • PPT: Presentation: AIS Prison Safety FY17 • IA#1: Instructor Notes | <p>Lesson (LP): AIS Prison Safety FY17</p> <p>SH#1: Something Happened Activity</p> <p>SH#2: CIR Examples</p> <p>SH#3: Breaking it Down Activity</p> <p>Fundamentals Map: ** See Special Instructions under Delivery Preparation **</p> | N/A |
| Delivery Preparation: | Classroom Materials/Equipment: | Reference Documents: |
| <p>Fundamentals Map ** Special Instructions – The Fundamentals Map is constantly being updated and the most recent version is required to be displayed/printed directly from the website for use in the classroom. Please go to: iDoc→Agency→Operations→Results DOC→Fundamentals Map or http://wadoc/sites/results/dashboard/Resource%20Documents/Fundamentals%20Map.pdf</p> <p>Table Groups: If possible set up table groups with multi-disciplinary teams.</p> | <ul style="list-style-type: none"> • Chart Paper & Easel or Dry Erase Board • Markers • Computer & Projector • Paper & Writing Utensils • Post-Its | <ul style="list-style-type: none"> • Cheryl Young, Dan Pacholke, Devon Schrum and Phillip Young, <i>Keeping Prisons Safe Transforming the Corrections Workplace</i> (Washington: Prisons Division Washington Department of Corrections, 2014), 117-160 • Cheryl Young, Dan Pacholke, Devon Schrum and Phillip Young, <i>Keeping Prisons Safe Field Guide</i> (Washington: Prisons Division Washington Department of Corrections, 2014), 93-114 • Washington State Auditor’s Office Performance Audit: Improving Staff Safety in Washington’s Prisons, March 2016 http://www.sao.wa.gov/state/Documents/PA_Improving_Prison_Staff_Safety_ar1016364.pdf |
| Creation & Revision Dates: | Instructor Resources: | |
| <p><i>Creation:</i> April 2016 <i>Revision:</i> July 2016</p> | <p>Subject Matter Expert Contact(s): Brandon Marshall, Keith DeFlitch, Ina McNeese, Chris Lopez, Joseph Salvaggi</p> <p>TDU Contact(s): Alena Dicke, Katjarina Hurt</p> | |

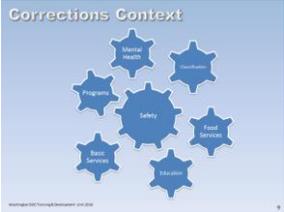
| # | Topic <i>(Content reference, page or NOOK location)</i> | Instructor Notes <i>(Instructional purpose, related objectives, key points & terms/definitions)</i> | Strategy/Activity <i>(Instructional method with directions for setup & debrief)</i> | Materials <i>(Equipment, PPT slides handouts etc.)</i> | Time |
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| 1 | <p>Lesson Overview</p> | <p>Through previous in-service lessons, staff have looked at personal practices as well department practices regarding safety and discussed how to improve safety in the workplace. They have explored vulnerabilities and identified how staff can improve safety in the workplace by individual and team accountability.</p> <p>Safety is a continuous improvement priority in the department and staff have had the opportunity to learn, grow, and see the changes in the department that have been driven by safety statewide.</p> <p>DOC is dedicated to correcting the human and system errors that have led to serious incidents in our prison facilities. ESB 5907 set our guidelines and goals to improve safety and reduce risks within our facilities.</p> | <p>Instructor Introduction:</p> <p>Display PPT#1:</p> <ul style="list-style-type: none"> • Welcome students to the training. • Introduce yourself and co-instructor(s). Instructor should say something about themselves, their level of knowledge and their passion for teaching this course. <p>Introduce the Class:</p> <p>Display PPT#2 Lesson Objectives</p> <p>Explain what the class will be going over today in brief.</p> | <p>PPT#1</p>  <p>PPT#2</p>  | 5 mins |

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| <p>2</p> | <p>Where does the information come from?</p> | <p>Note: It is important to discuss the book/workbook for several reasons:</p> <ol style="list-style-type: none"> 1. Staff will know that their experiences, input and feedback were included in this book/workbook to improve safety and change our culture. 2. The book focuses on more than just complex adaptive systems, but gives attention to improving human error issues as well. 3. Most of the exercises and activities in these books have been tested in forums, workshops, musters, training, and committees over the past three years. <p>The book and workbook were written by Dan Pacholke, Cheryl & Philip Young, and Devon Schrum with input from DOC staff.</p> | <p>The Book: Keeping Prisons Safe</p> <p>Display PPT#3 Prison Safety Resource</p> <ul style="list-style-type: none"> • The activities we will be using in this lesson are derived from a published book and workbook titled <u>Keeping Prisons Safe – Transforming the Corrections Workplace</u>. • This book is a testament to the nature of our work and gives correctional staff the opportunity to talk about safety. Line staff have solutions to many of the safety concerns that come up on the job. <p>Where to Find the Book Each facility’s Training Unit will have several copies available for loan within this coming year. If you get a chance to read them, it may help to improve your safety perspective.</p> | <p>PPT#3</p>  | <p>2 mins</p> |
| <p>3</p> | <p>Overview of FY16</p> | <p>Lesson Objective #1</p> <p>Notes: Place Safety Daily practice is inextricably linked to a specific place and the context that is created out of daily interactions. Staff participate in continual sense-making about what is going on and help shape the context of decisions and actions.</p> | <p>Transition: At previous in-service lessons, we discussed how empowering line staff helps guide our leadership and the agency as a whole. This allows us to function in a safer and more organized structure.</p> <p>Display PPT#4 Slide</p> <p>Previous Lesson Review –Discuss/Ask: <i>What do you remember from past years?</i></p> <ul style="list-style-type: none"> • Place Safety • Human Error • Complex Adaptive Systems • Documentation • Treat successes as failures • Fundamentals Map/Results DOC | <p>PPT#4</p>  | <p>10 mins</p> |

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| | <p>Human Error Typically falls under <i>skill-based mistakes</i> (i.e. forgetting something); <i>rule-based mistakes</i> (deviating from rules/taking actions outside of procedure, which can have positive or negative results); and <i>knowledge-based mistakes</i> (lack of training, understanding, or being in unfamiliar situations).</p> <p>Complex Adaptive Systems Each part of the organization has a different approach to executing tasks. Despite our best efforts, difficulties happen due to complexity. External factors, such as federal law, also impact how policies are crafted and implemented by practitioners.</p> <p>Documentation Core work of corrections is securing and monitoring inherently volatile populations. Documentation, translated properly and given to the correct people, can be a powerful tool to assist in staff safety within our facilities.</p> <p>Treat Successes as Failures Do not get complacent when things go right. Always look at what worked and did not work and apply these lessons to improve.</p> <p>Fundamentals Map/Results DOC Connecting Agency goals and mission from the big picture down to the small goals and measures it takes to get there.</p> | <p>Discussion: What is Drift? Ask: Thinking about our previous discussion - <i>What do we mean by “drift” as it applies to the workplace?</i> <i>Many of us develop routines in our work that allow us to be more proficient with our time. These new routines are often in the form of shortcuts that allow us to “just get it done”. We can even become “shortcut proficient”.</i> <i>These shortcuts may be successful and even seem better than the rule or policy that is in place and eventually even replace the rule in the minds of staff. <u>This is how drift occurs.</u></i></p> <p>Discuss/Ask: <i>Why is it important to bring these ideas up again this year?</i></p> <p>Lecture: By reviewing what has been covered in the past AIS lessons we are connecting that Prison Safety is a continuous process and a discussion that should continue throughout our facilities and staff training.</p> | | |
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| <p>4</p> | <p>Situational Safety</p> | <p>Lesson Objective #1 and Objective #2</p> <p>Reference: <i>Keeping Prisons Safe</i>, pg. 42.</p> <p>Notes: DOC Goals and Values:</p> <ul style="list-style-type: none"> • Mission: Improve Public Safety • Vision: Working together for safe communities • Values: <ul style="list-style-type: none"> ○ Staff as our greatest asset ○ Professionalism and quality of service ○ A safe, healthy work environment ○ Respect for individuals ○ Clear, open, honest communication ○ People’s ability to grow and change ○ Positive community interaction <p>Note: “Normal Business’ is what works over time, making what was once unacceptable, acceptable; allowing what was previously an exception to become a rule.” (<i>Keeping Prisons Safe</i>, pg.43)</p> | <p>Lecture/Discuss: “Safety is never the only goal of an organization. Organizations exist to accomplish multiple outcomes.” Ask: <i>How does safety impact organizational outcomes? What are some of DOC’s goals and how does safety affect them?</i></p> <p>Defining Situational Safety: Safety is not something that can be given but something that is created in our daily practice of sound actions. Situational safety is connecting events to your every day practices and being aware to create safer practices for yourself and your workplace. How you think and act in your position and in your work always has an effect on the safety in your workplace.</p> <p>Display PPT#5 Ask: <i>How does situational safety affect your daily work?</i></p> <ul style="list-style-type: none"> • Conflicting goals – having to juggle a lot of information and demands while trying to do your job. • Familiarity and falling into routines can lead to complacency and lack of awareness. <p>Ask: <i>What happens when the focus is on the person involved vs. the event?</i></p> <ul style="list-style-type: none"> • Missing the overall event (the “big picture”). • Passes up areas of opportunity for operational/situational changes. • Lowers safety of our operations. | <p>PPT #5</p>  <p>How does situational Safety affect your daily work? What happens when we focus on the person involved vs. the event?</p> | <p>10 mins</p> |
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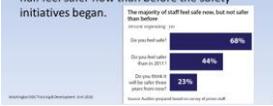
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| | | | <p>Transition: Two mental tools that can help you improve your situational safety are:</p> <ul style="list-style-type: none"> • Understanding Latent Cause and Effect • Recognizing that every story has a Second Story | | |
| 5 | <p>Latent Cause and Effect Model</p> | <p>Lesson Objective #2 & Objective #4</p> <p>Note: This purpose of this example is to generate conversation related to Latent Cause and Effect.</p> <p>If asked, you may inform participants that this example is from an actual incident that occurred. In the incident, the officer turned his/her back to the offender and was assaulted.</p> | <p>Define/Discuss: Latent Cause and Effect Model</p> <ul style="list-style-type: none"> • Steps back from the situation and looks at the system and organizational set up. • Helps us see that no matter <i>who</i> would have been involved, the organizational structure is still there underneath. • Often referred to as the “Domino Effect” – when something goes wrong, beyond the obvious cause and effect, there are other previous aspects in place that may have preceded the actual event. • Also called the “Swiss Cheese Effect” —when you cut into the block of Swiss cheese, you notice new or different holes inside than you first saw on the outside. <p>Display PPT#6</p> <p>Ask: <i>What creates the environment that causes the event?</i></p> <ul style="list-style-type: none"> • Decision points—to do or not to do something. • Lack of situational awareness—not noticing a potential problem. • Shifts in behavior and changes in routine. <p>Example:</p> <p>A game room is set up so that the officer has to turn around with his/her back to the offender to do the check-out of games.</p> <p><i>Is the bigger problem that the staff turned his/her back to the offender, or that the office was setup in a manner that may result in a bad situation?</i></p> | <p>PPT#6</p>  | 10 mins |

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| | | | <p>Activity Debrief: Help each group debrief by working with them to answer the following aspects of their CIR.</p> <ul style="list-style-type: none"> • What “successes” could also be failures (it may have gone well this time, but what can we do better or change next time)? • Think about valuable lessons you can take away • Use IA#1 for specific observations/notes. <p>Show PPT#8 Activity Debrief</p> <p>Discuss/Ask: <i>How do we learn from near misses and/or Failed Routines?</i> <i>How can looking at these from the Second Story View help improve safety in your areas?</i> <i>What are some possible actions that you could take to make a difference?</i></p> | <p>PPT#8 Activity Debrief</p> <ul style="list-style-type: none"> ➢ How do we learn from near misses and/or Failed Routines? ➢ How can looking at these from the Second Story View help improve safety in your areas? ➢ What are some possible actions that you could take to make a difference? | |
| <p><i>Break – 5 minutes</i></p> | | | | | |
| <p>7</p> | <p>Corrections Context</p> | <p>Lesson Objective #1 & Objective #4</p> | <p>Corrections Context: Safety is not the only goal of an organization – you must look at the different competing priorities that take safety into account.</p> <p>Display PPT#9. Discuss/Explain:</p> <ul style="list-style-type: none"> • If you look at facilities in our department you will see that there are different aspects of a successful facility (food services, mental health, classification, education, etc.). • Each part of our agency needs to be intact to make the gears function. At the center is safety that holds them all together and allows the gears to turn. • We must always remember to look at each part and its impact on and relationship to the whole mechanism. | <p>PPT#9 Corrections Context</p>  | <p>20 mins</p> |

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| | <p>Accidents are normal: Accidents are not anomalies arising from human error; they arise out of a natural tendency for work to move toward the boundaries of safe operations</p> <p>Chains-of-Command: Information transfer across chains-of-command is an issue. Responsibility is compartmentalized. Authority and responsibility have to be negotiated Covert work systems evolve around “getting it done.”</p> <p>It’s not my Job: Gaps in practice may go unreported if they do not fall within a person’s job scope or perceived responsibility.</p> <p>Overlapping Procedures: Routines and procedures that are “tightly coupled” may have far-reaching impacts if there is failure along the way.</p> <p>Goal Conflicts: Staff cope with multiple goals and priorities while balancing them in context. Analyze incidents to account for both stated and implicit goals.</p> <p>Somewhere Down the Line: Decisions up-stream have multiple impacts, what works for one area may not work for another. Example: Associate Superintendent sends down a new schedule to line staff that is unrealistic based on details that only line staff would know.</p> | <p>Transition: We are all part of the bigger corrections context. Your gear might be turning, but not sharing information or remembering the whole mechanism could impact others.</p> <p>Corrections Context Example: Staff keep providing a comb for the bald guy in the unit.</p> <p>Ask: <i>Why is this concerning?</i></p> <ul style="list-style-type: none"> • Although the offender has the right to a comb, it should cause concern or awareness of why the bald offender wants the comb. • Sharing information and documenting Behavioral Observations may help others identify a potential problem. • Look at the big picture and reframe your thinking to consider the larger corrections context rather than just your individual role. <p>Transition: We examine human error but we must also examine the parts that go along with the human error. We want to focus on the story and the second story to identify systematic and procedural errors instead of focusing on the person.</p> <p>Show PPT#10: Correctional Context Activity</p> <p>Activity:</p> <ol style="list-style-type: none"> 1. Assign/have the groups each pick 1-2 terms from the list dependent on the group size. 2. Direct participants define their terms by drawing on their own knowledge and referring to page 4 in their Lesson (LP). | <p>PPT#10</p> <p>Correctional Context Activity</p> <ul style="list-style-type: none"> > Accidents are normal > Chains-of-Command > It's not my Job > Overlapping Procedures > Goal Conflicts > Somewhere Down the Line | |
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| | | | <p>3. Give 5-10 minutes for groups to define their terms and then ask for each group to report out to the large class:</p> <p>Debrief: Ask: <i>Why do these matter?</i></p> <ul style="list-style-type: none"> • Each of these six elements can be used to critically think about why things happen. • We can use them to help change our thought process in the way we look at and think about safety in our facility. | | |
| <p>8</p> | <p>Corrections Practice – Connecting the Dots</p> | <p>Lesson Objective #4</p> <p>Activity Notes:</p> <ul style="list-style-type: none"> • This is a process of reverse engineering key events where we look at how many possibilities could have led to that same outcome. • This process helps expand the way we look at both success and failure. • We can see where alternative outcomes were possible. • We can discover how every event is a series of prior events—small failures along the way impact other events. • The details of our work matter. | <p>Corrections Practice – Connecting the Dots Ask: <i>Thinking about what we have covered, when faced with understanding an incident, what should we be asking?</i></p> <p>Answers may include:</p> <ul style="list-style-type: none"> • What is the bigger picture? • What were the events leading up to the situation? • Where were there breakdowns? <p>Discuss: When reviewing the situations and events it is important to remember that second story will allow us to look at the safety and complexity of our facilities.</p> <p>Activity: Breaking it Down</p> <ol style="list-style-type: none"> 1. Handout SH#3 Breaking it Down and refer students back to SH#2 CIR Examples (already handed out for previous activity) 2. In their groups, direct students to work through the Exercise Sheet SH#3 and prepare to report back. | <p>SH#3 Breaking it Down SH#2 CIR Examples</p> | <p>25 mins</p> |

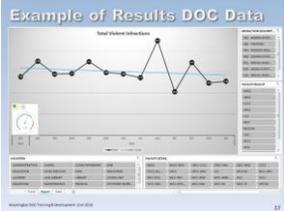
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| | | <p>Red Flag:</p> <p>There may not be enough time to allow each group to read through their entire worksheet. Focus instead on the debrief questions with the class as a whole.</p> | <p>3. Give groups 10-15 minutes to work through the Exercise Sheet.</p> <p>4. Come back together as a large group and debrief the whole activity.</p> <p>Debrief:</p> <ul style="list-style-type: none"> • <i>Was this process helpful? Explain.</i> • <i>Can you identify the decision points along the way? Give an example of how events connected to each other.</i> • <i>What role did “luck” or “chance” play, if any?</i> • <i>How do routines help and hinder us? How could things we take for granted become weaknesses?</i> <p>Transition:</p> <p>It is easy to get completely focused on events and concerns at our own facilities. However, there are some issues that are agency-wide and DOC is attempting to address and to be more transparent about.</p> <p>We will look at some of these in the findings from the 2016 Audit Report over the next several slides.</p> | | |
| 9 | Audit Findings | <p>Lesson Objective #3</p> <p>Note:</p> <p>This is a summary of the findings from the 2016 Prison Safety Audit – staff can access the entire audit on iDOC or through the State Auditor’s website (see website address on page 1 of this IG).</p> | <p>Lecture/Discuss:</p> <ul style="list-style-type: none"> • All staff employed at the 12 state prisons were sent surveys by the State Auditor’s Office in October 2014. • The response rate was 21%. • Following the surveys, 42 focus groups were conducted across the state. • Findings from this audit regarding previously implemented staff safety initiatives were released in March, 2016. | | 20 mins |

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| | | <p>Red Flag:</p> <p>These results can trigger emotional responses. Be careful to keep the conversations from taking over the class.</p> <p>Note:</p> <p>As a facilitator, you are not responsible for addressing any validity issues/concerns about the audit. The purpose of sharing these results is to be transparent (HQ and Line-Staff see the same information) and to promote conversations on staff safety initiatives.</p> <p>Note:</p> <p>The daily work in the facilities and practices that create good habits also work to address the audit findings on a local level.</p> | <p>Display PPT#11</p> <p>Lecture/Discuss:</p> <p>The Executive Summary of the audit lists six primary findings:</p> <ol style="list-style-type: none"> <u>Washington’s staff safety initiatives are innovative and unique.</u> <ul style="list-style-type: none"> Safety equipment and facility improvements Offender job placement and classification Security training Statewide and local security advisory committee <u>The majority of prison staff feel safe, but less than half feel safer now than before the safety initiatives began.</u> <ul style="list-style-type: none"> Based on 21% response rate “In focus groups, staff offered positive feedback about the safety initiatives, but attributed their sense of safety to their co-workers’ support in addition to the initiatives” (Audit, pg. 4). <p>Display PPT#12</p> <ol style="list-style-type: none"> <u>Staff feedback on what is and is not working well is consistent across facilities.</u> <ul style="list-style-type: none"> Actions employees identified as most effective: <ul style="list-style-type: none"> Accountability procedures The deployment of pepper spray More radios and added radio features (remote microphones and duress alarms) | <p>PPT#11</p> <p>Performance Audit</p> <p>Executive Summary:</p> <ol style="list-style-type: none"> Washington’s staff safety initiatives are innovative and unique. The majority of prison staff feel safe, but less than half feel safer now than before the safety initiatives began.  <p>PPT#12</p> <p>Performance Audit (continued)</p> <ol style="list-style-type: none"> Staff feedback on what is and is not working well is consistent across facilities. Opportunities to improve the implementation of staff safety initiatives.  | |
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| | | <p>Note: Reconnect the topic of drift during this area with the conversation.</p> <p>Reference: <i>Audit, pg. 5.</i></p> | <ul style="list-style-type: none"> Staff recommended hiring more staff, installing more cameras and mirrors, and providing better responses to their safety concerns. <p>Ask: <i>How does this compare to what you have seen at your facility?</i></p> <p>4. <u>Opportunities to improve the implementation of staff safety initiatives.</u></p> <ul style="list-style-type: none"> Not all initiatives have been fully or consistently implemented yet. Found that some areas need clarification on guidance and expectations for staff. <p>Display PPT#13</p> <p>5. <u>Gaps exist between correctional leading practices and those used by the Department.</u></p> <ul style="list-style-type: none"> “Overall... the Department has good policies and procedures encompassing most areas that are considered important correctional practices.” Some areas of concern include: <ul style="list-style-type: none"> Staffing model has not been updated to account for the additional demands placed on staff, Search policies for people entering facilities are lacking, Policies on whether non-custody staff need to carry radios are lacking, and practices are inconsistent. <p>Ask: <i>How does this compare to what you have seen at your facility?</i></p> | <p>PPT#13</p> <p>Performance Audit (continued)</p> <p>5. Gaps exist between correctional leading practices and those used by the Department.</p> <p>6. The Department needs more specific performance goals and measures to improve the effectiveness of its staff safety initiatives.</p> <p>Full Audit: http://www.sao.wa.gov/state/Documents/PA_Improving_Prison_Staff_Safety_ar1016364.pdf</p> <p>13</p> | |
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| | | <p>Note: Do not show the full audit in class. If participants are interested, provide them the link or allow them to copy it down to look at outside of class.</p> | <p>Ask: <i>What steps can staff take to mitigate some of these concerns?</i></p> <ul style="list-style-type: none"> • “You see it, you own it.” Take initiative to report safety concerns and make suggestions. • Report and document behavior concerns among offenders so other staff can be made aware. • Be alert to staff in your area who don’t have radios and may be more vulnerable. • Use self-care and utilize resources to care for yourself and cope with stress (such as the staff psychologists, Employee Assistance Program). <p>6. <u>The Department needs more specific performance goals and measures to improve the effectiveness of its staff safety initiatives.</u></p> <ul style="list-style-type: none"> • Need for ongoing evaluation • Continuing to gather feedback <p>Debrief: Lecture/Discuss:</p> <ul style="list-style-type: none"> • It is normal to have mixed feelings about these audit results. • While many solutions and fixes will take time and have to come from higher levels within the agency, there are steps we can take in our facilities to make ourselves safer. • It is also important to remember to make time to fill out surveys when they are sent out as this is one of the tools used to gather feedback. | | |
| <p><i>Break – 5 minutes</i></p> | | | | | |

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| <p>10</p> | <p>Fundamentals Map</p> | <p>Lesson Objective #4</p> <p>Note: The Fundamentals Map (formerly called “F-Map”) connects everyone’s daily work to DOC’s five key goals.</p> <ul style="list-style-type: none"> The Fundamentals Map links our key goals to the strategies and processes that will achieve the Department’s desired outcomes. It is a document that identifies who in leadership is responsible for each core process. <p>** Special Instructions – The Fundamentals Map is required to be printed directly from the website for use in the classroom. Please go to: iDoc→Agency→Operations→Results DOC→Fundamentals Map to print the handout prior to class</p> <p>OP01 (Operating Process 01) Ensuring Safe Environments:</p> <ul style="list-style-type: none"> Educating staff, offenders and visitors on security practices Reducing idleness Reducing violence Using technology Managing security practices Maintaining facility infrastructure Responding to infractions Maintaining PREA compliance Managing staff accountability | <p>Display PPT#14: Fundamentals Map</p> <p>Discussion: Fundamentals Map</p> <ul style="list-style-type: none"> The Fundamentals Map is a structure for DOC to do business and connect the different organizational goals through a structured process that keeps the goals connected and visible throughout the agency. The Fundamentals Map connects drivers, policies, procedures, and practices throughout the agency and in turn can affect safety within our agency. <p>Ask: How does the Fundamentals Map connect to staff safety?</p> <p>The processes within the Fundamentals Map are how local supervisors can connect staff work to the core processes of DOC. If we are doing our routine work well, it should all lead to positively impacting offenders.</p> <p>Display: Current Fundamentals Map Display the most recent Fundamentals Map SH#4</p> <p>Display PPT#15: Fundamentals Map OM05 (Outcome Measures 05) Make the connection to <u>OM05</u> and <u>OP01</u> that the data is being collected and analyzed to look at facility processes and events.</p> <p>Examples:</p> <ul style="list-style-type: none"> OC and lowering staff injury. Equipment issued 10 years ago vs. now. Identifying culture change over time – it has turned into a culture change vs. a climate change over time. | <p>PPT#14:</p>  <p>Click for boxes/highlights to appear on slide. Use link at bottom of slide to access current map through iDOC page.</p> <p>Fundamentals Map **See Special Instructions OR use the Fundamentals Map Link</p> <p>PPT#15</p>  | <p>10 mins</p> |
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| | | <p>Red Flag: For time purposes, we cannot afford a lengthy discussion on specific results. Refer students to the Results DOC page: iDOC→ Agency→ Operations→ Results DOC→ Dashboard OR follow link for current data: http://wadoc/sites/results/dashboard/default.aspx</p> | <p>Display PPT#16 and explain that the three measures collect data that is available for the agency to work from OM05 Staff Safety:</p> <ul style="list-style-type: none"> • Employees on the job injuries • Employee assaults by offenders in prison • Employee threats and assaults by offenders in the community <p>Ask/Discuss: <i>How does the information we have covered today relate to these three measures?</i></p> <p>Display PPT#17 – Example of Results DOC Data Discuss: Results DOC Data allows us to see what works or doesn't work and the impact the agency is having on its mission of improving public safety.</p> <ul style="list-style-type: none"> • Anyone can access this through iDOC for current results. • This is a tool for the agency to view the Second Story/Latent Cause and Effect. | <p>PPT#16 </p> <p>PPT#17 </p> | |
| 11 | Results DOC | Lesson Objective #3 | <p>Display PPT#18 – Results Washington Discuss:</p> <ul style="list-style-type: none"> • Governor Inslee's Results Washington Initiative calls for a more efficient and effective state government. • The five goal areas are based on input from Washington state residents. These goals are: <ol style="list-style-type: none"> 1. World-class education 2. Prosperous economy 3. Sustainable energy and a clean environment 4. Healthy and safe communities 5. Effective, efficient, and accountable government | <p>PPT#18 </p> | 10 mins |

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| | | | <ul style="list-style-type: none"> • Results DOC is a way of doing business that bridges the gap between the agency’s strategic plan and its actual implementation. <ul style="list-style-type: none"> ○ It is the agency’s outcome-based management system. ○ It is intended to engage every employee in the implementation of the strategic plan in support of the Governor’s Results Washington initiative. <p>Ask: Do any/all of these relate to Prison Safety? How?</p> <p>Answers might include:</p> <ul style="list-style-type: none"> • Reminds us to focus on the big picture and reminds us to look at our place in the bigger context (recall the facility/gears analogy on PPT#8). • What happens inside facilities can have an impact on the community. | | |
| 12 | Security Advisory Committee | <p>Lesson Objective #4</p> <p>Note: Reminder of what the committee does local and statewide.</p> <p>Note: Identify some local successes at the facility.</p> | <p>Security Advisory Committee – Brief Overview</p> <p>Lecture/Discuss:</p> <p>Security advisory committees, which comprise local and statewide committees, empower facility staff to identify security gaps and provide avenues for addressing them.</p> <p>Local security advisory committees meet monthly and discuss security concerns/suggestions submitted by staff.</p> <p>Ask: Do you know who the Security Specialist is at your facility?</p> <p>Ask: What is the difference between a Safety Officer and Security Specialist?</p> | | 10 mins |

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| | | <p>Note: Here is a snapshot of what happens to the suggestions that are made.</p> <p><u>Example of recent statistics around Statewide Security Committee Actions (June 2016):</u></p> <ul style="list-style-type: none"> Count= 3155 Denied by Committee (801) Denied by Facility Leadership (197) May have statewide impact - Referring to SSAC (61) Referred to Safety (6) Suggestion Implemented (in whole or part) (1832) This is a facility matter and may be resolved with available resources. (258 – pending/in review) <p>Note: for current data, follow this link: http://wadoc/sites/prisons/Lists/Security%20Concerns%20%20Suggestions/LSAC%20Status.aspx</p> | <ul style="list-style-type: none"> Safety Officer: responsible for reporting occupational hazards and on the job injuries (such as slips, trips, and falls). Security Specialist: responsible for overseeing the overall security aspects of the facility (such as staff accountability). <p><i>Ask: Do you know how to submit a suggestion?</i></p> <p>Display PPT#19</p> <ul style="list-style-type: none"> iDOC> Toolbox quick links> Forms> 21-566 Complete the form. Submit to the Security Specialist at your local facility. <p>Discuss: Examples of Statewide Security Committee Actions:</p> <ul style="list-style-type: none"> Infraction 714 (introducing contraband) loop-hole has been closed <ul style="list-style-type: none"> In May 2015 it was reported to the committee that the WAC Violation 714 language needed to be changed to eliminate a loop-hole regarding a lack of serious infractions for contraband coming in through EFV or visiting (i.e. hygiene items, food items). New WAC books have been issued. Escorted leave trips – no requirement for proof of relationship to deceased family member. As of December 2013 a checklist has been created to verify legitimacy of funeral/deathbed escorted leave requests. Put in a legislation funding request for expansion of the K9 program – able to give 3 facilities programs and have left the request open for future expansion. | <p>PPT#19:</p>  | |
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| <p>14</p> | <p>Evaluation</p> | <p>Collect the forms from debrief and give to local FPC.</p> | <p>Display PPT#22 Handout Class Evaluation Form and Explain: <i>Your input is valued, please take some time to give us your feedback.</i> After all evaluations are completed and handed in, dismiss the class.</p> | <p>PPT#22</p>  <p>Handout: Class Evaluation Form</p> | <p>5 mins</p> |
|------------------|--------------------------|--|--|---|---------------|

Appendix C

Fiscal Year 2017 Annual Agency Training Plan



Annual In-Service Training – FY17

Training and Development Unit

Learning Performance A better place to work A better place to live

Overview

Annual In-Service (AIS) training encompasses a broad range of training topics designed to meet statutory, accreditation, and other departmental requirements. It also exists to provide staff specialized training opportunities designed to enhance existing skills, instill new skills/knowledge, and foster continuing professional development. The goal for this training is to meet the requirements, while creating a meaningful learning experience for staff through knowledge or skill acquisition that helps them better perform their jobs.

This document outlines the mandatory requirements and the AIS based training prioritized for FY 2017 business needs.

Annual In-Service Requirements FY17

The following are the requirements for each staff as indicated by the Organizational/Division Unit and position.

COS/AOD/HQ/CI-HQ/ISRB

| AUDIENCE | Course | Hours To Complete | Frequency Required | Format | |
|----------------------------|--|-------------------|--------------------|-----------|---------|
| | | | | Classroom | On-Line |
| All staff | DOC Infectious Disease Control FY17 | .5 | Yearly | | X |
| | DOC Ethics FY17 | .5 | Every 3 Years | | X |
| | DOC Confidential Medical Information FY17 | .5 | Every 3 years | | X |
| | WA-State IT Security Awareness Training – Refresher Training | <.5 | Yearly | | X |
| | DOC Fire Extinguisher FY17 | .5 | Yearly | | X |
| | DOC PREA Annual FY17 | .5 | Yearly | | X |
| | DOC Outdoor Heat Exposure FY17 | <.5 | Yearly | | X |
| | DOC Slip, Trip, and Fall FY17 | .5 | Yearly | | X |
| | DOC Public Disclosure FY17 | .5 | Every 3 Years | | X |
| | DOC Suicide Prevention FY17 | 2 | Yearly | X | |
| | DOC Emergency Management System HQ FY17 | 2 | Yearly | X | |
| Health Services | DOC PREA for Health Services Online FY17 | .5 | Yearly | | X |
| All Supervisors & Managers | WA-State Sexual Harassment & Awareness Prevention for Managers | 1.5 | Every 3 Years | | X |

Community Corrections Division & Work Release

| Audience | Course | Hours To Complete | Frequency Required | Format | |
|-------------------------------------|--|-------------------|--------------------|-----------|---------|
| | | | | Classroom | On-Line |
| All Staff | DOC Infectious Disease Control FY17 | .5 | Yearly | | X |
| | DOC Confidential Medical Information FY17 | .5 | Every 3 years | | X |
| | DOC Ethics FY17 | .5 | Every 3 Years | | X |
| | WA-State IT Security Awareness Training – Refresher Training | <.5 | Yearly | | X |
| | DOC Fire Extinguisher FY17 | .5 | Yearly | | X |
| | DOC PREA Annual FY17 | .5 | Yearly | | X |
| | DOC Outdoor Heat Exposure FY17 | <.5 | Yearly | | X |
| | DOC Slip, Trip, and Fall FY17 | .5 | Yearly | | X |
| | DOC Public Disclosure FY17 | .5 | Every 3 Years | | X |
| | DOC Suicide Prevention FY17 | 2 | Yearly | X | |
| | DOC Emergency Management System CCD FY17 | 8 | Yearly | X | |
| | DOC First Aid AED | 4 | Every 2 years | X | |
| CO, CCO, CCS, Armed FA & Specialist | DOC Control Impedance Tactics/OC FY17 | 8 | Every 6 months | X | |
| Armed Staff | DOC Firearms Qualification FY17 | 8 | Every 6 months | X | |
| Taser Carrying Staff | DOC EID XP26 TASER | 6 | Yearly | X | |
| All Supervisors & Managers | WA-State Sexual Harassment & Awareness Prevention for Managers | 1.5 | Every 3 Years | | X |

Prison Division/Staff Working in a Prison

| Audience | Course | Hours To Complete | Frequency Required | Format | |
|----------------------------|--|--|--------------------|-----------|-------------------|
| | | | | Classroom | On-Line |
| All Staff | DOC Infectious Disease Control FY17 | .5 | Yearly | | X |
| | DOC Confidential Medical Information FY17 | .5 | Every 3 years | | X |
| | DOC Ethics FY17 | .5 | Every 3 Years | | X |
| | WA-State IT Security Awareness Training – Refresher Training | <.5 | Yearly | | X |
| | DOC Fire Extinguisher FY17 | .5 | Yearly | | X |
| | DOC PREA Annual FY17 | .5 | Yearly | | X |
| | DOC Outdoor Heat Exposure FY17 | <.5 | Yearly | | X |
| | DOC Slip, Trip, and Fall FY17 | .5 | Yearly | | X |
| | DOC Public Disclosure FY17 | .5 | Every 3 Years | | X |
| | DOC Suicide Prevention FY17 | 2 | Yearly | X | |
| | DOC Emergency Management System FY17 | 3 | Yearly | X | |
| | DOC Prison Safety FY17 | 3 | Yearly | X | |
| | Health Services | DOC PREA for Health Services Online FY17 | .5 | Yearly | |
| Custody | DOC Control Impedance Tactics/OC FY17 | 16 | Yearly | X | |
| | DOC Firearms Qualification FY17 | 8 | Yearly | X | |
| | DOC First Aid AED | 4 | Every 2 years | X | DOC First Aid AED |
| Transport Staff | DOC EID XP26 TASER | 6 | Yearly | X | |
| All Supervisors & Managers | WA-State Sexual Harassment & Awareness Prevention for Managers | 1.5 | Every 3 Years | | X |

SERT, ERT, and IRT Members: have additional requirements added to the above courses

Appendix D

FACT Project Charter



Project Charter
Facility Access Control Tracking (FACT) / Staff Accountability
9/22/2016

| | | | | | | | | | | | | | | | | |
|---|---|--|--|--|---|--|---|---|--|---|---|--|---|--|--|--|
| Project Charter Purpose | <p>The purpose of the project charter is to formally document key project elements. When approved with signatures, the charter serves as a contract between the project sponsor and the project manager.</p> | | | | | | | | | | | | | | | |
| Project Description | <p><i>Facility Access Control Tracking (FACT) / Staff Accountability is a project to improve department processes related DOC 420.160 Staff Accountability.</i></p> <p><i>This project will automate the current paper process at DOC facilities to account for staff within the secure perimeter by incorporating this process into OMNI. The automation will reduce the amount of time required to account for all staff by using barcode scanners to log staff entering and exiting the facilities. Groups that will be accounted for with this process are identified as approved EMPLOYEE, VISITOR (no offenders visitors), CONTRACT STAFF and VOLUNTEER.</i></p> <p><i>This will be piloted at SCCC. The purpose of this pilot is to automate the staff accountability process within the existing infrastructure and to provide a method to quickly ensure the safety and well-being of all individuals within the secure perimeter.</i></p> | | | | | | | | | | | | | | | |
| Project Justification | <p><i>This project is in support of the 2011 Legislature in Engrossed Senate Bill 5907 (ESB 5907) and in response to Washington State Auditor’s Office, Performance Audit: Improving Staff Safety in Washington’s Prisons (March 22, 2016, Audit Number: 1016364) to improve staff safety.</i></p> | | | | | | | | | | | | | | | |
| Business Drivers <i>Check all that Apply</i> | <table border="0"> <tr> <td><input type="checkbox"/> Carry out the Sentence of the Courts</td> <td><input checked="" type="checkbox"/> Create an Environment of Accountability, Support, Pride, and Risk-taking</td> <td><input type="checkbox"/> Increase Acceptance and Partnerships to Assist in Successful Offender Reentry</td> </tr> <tr> <td><input checked="" type="checkbox"/> Protect Victims, Community, Staff and Offenders</td> <td><input type="checkbox"/> Increase Offender Readiness for Reentry</td> <td><input checked="" type="checkbox"/> Update Business Processes Supported by Technology</td> </tr> <tr> <td><input type="checkbox"/> Hold Offenders Accountable for their Actions</td> <td><input type="checkbox"/> Encourage a Culture that Supports Positive Change and Reinforces Good Offender Behavior</td> <td><input checked="" type="checkbox"/> Create sustainable and Efficient Operations</td> </tr> <tr> <td><input type="checkbox"/> Provide Basic Care for Offenders</td> <td><input type="checkbox"/> Hire Diverse, Qualified and Competent Employees</td> <td><input checked="" type="checkbox"/> Implement Collaborative Enterprise Management and Decision Making</td> </tr> <tr> <td><input checked="" type="checkbox"/> Retain Successful Satisfied, Healthy Employees</td> <td></td> <td></td> </tr> </table> | <input type="checkbox"/> Carry out the Sentence of the Courts | <input checked="" type="checkbox"/> Create an Environment of Accountability, Support, Pride, and Risk-taking | <input type="checkbox"/> Increase Acceptance and Partnerships to Assist in Successful Offender Reentry | <input checked="" type="checkbox"/> Protect Victims, Community, Staff and Offenders | <input type="checkbox"/> Increase Offender Readiness for Reentry | <input checked="" type="checkbox"/> Update Business Processes Supported by Technology | <input type="checkbox"/> Hold Offenders Accountable for their Actions | <input type="checkbox"/> Encourage a Culture that Supports Positive Change and Reinforces Good Offender Behavior | <input checked="" type="checkbox"/> Create sustainable and Efficient Operations | <input type="checkbox"/> Provide Basic Care for Offenders | <input type="checkbox"/> Hire Diverse, Qualified and Competent Employees | <input checked="" type="checkbox"/> Implement Collaborative Enterprise Management and Decision Making | <input checked="" type="checkbox"/> Retain Successful Satisfied, Healthy Employees | | |
| <input type="checkbox"/> Carry out the Sentence of the Courts | <input checked="" type="checkbox"/> Create an Environment of Accountability, Support, Pride, and Risk-taking | <input type="checkbox"/> Increase Acceptance and Partnerships to Assist in Successful Offender Reentry | | | | | | | | | | | | | | |
| <input checked="" type="checkbox"/> Protect Victims, Community, Staff and Offenders | <input type="checkbox"/> Increase Offender Readiness for Reentry | <input checked="" type="checkbox"/> Update Business Processes Supported by Technology | | | | | | | | | | | | | | |
| <input type="checkbox"/> Hold Offenders Accountable for their Actions | <input type="checkbox"/> Encourage a Culture that Supports Positive Change and Reinforces Good Offender Behavior | <input checked="" type="checkbox"/> Create sustainable and Efficient Operations | | | | | | | | | | | | | | |
| <input type="checkbox"/> Provide Basic Care for Offenders | <input type="checkbox"/> Hire Diverse, Qualified and Competent Employees | <input checked="" type="checkbox"/> Implement Collaborative Enterprise Management and Decision Making | | | | | | | | | | | | | | |
| <input checked="" type="checkbox"/> Retain Successful Satisfied, Healthy Employees | | | | | | | | | | | | | | | | |
| Objectives | <p><i>Key project objectives of Staff Accountability pilot at SCCC are to automate the current paper process with the use of barcode scanners to identify staff entering or exiting the secure perimeter of DOC facilities.</i></p> <ul style="list-style-type: none"> ▪ <i>Install barcode scanners at the entrance and exit points of SCCC to automate staff accountability by reading the barcode on their identification badge to provide real time data as to who is within the secure perimeter.</i> ▪ <i>Display staff identification photos from Washington Offender Management System (WOMS) on staff pages in OMNI to positively identify each authorized individual.</i> ▪ <i>To provide automated notification to the public access officer of any unauthorized person attempting to enter the institution.</i> | | | | | | | | | | | | | | | |



Project Charter
Facility Access Control Tracking (FACT) / Staff Accountability
9/22/2016

| | |
|---|--|
| | <ul style="list-style-type: none"> ▪ <i>To provide a real-time census of staff with-in the secure perimeter using barcode data that is collected at the barcode access points.</i> ▪ <i>To provide a method for scanning staff barcodes within the secure perimeter when an accountability event or drill is initiated.</i> ▪ <i>Accountability barcode scanners will be implemented at entry access points as well as designated staff accountability muster areas.</i> ▪ <i>To implement enhanced security measures in access/egress points in order to positively identify and account for all staff, visitors and volunteers who enter and exit the secure perimeter.</i> ▪ <i>To monitor the staff accountability software and protocols for a three month period. To audit, observe and examine facility use, hardware, software, and process for refinements and consideration of statewide implementation.</i> |
| <p>Scope</p> | <p><i>The scope of this project includes:</i></p> <ul style="list-style-type: none"> ▪ <i>Automation of part or all of the current paper process for tracking staff, contractors and visitors into OMNI with the goal to reduce the time required to account for all staff at SCCC during drills and significant events.</i> ▪ <i>Creation/modification of OMNI screens and code to meet the business needs/requirements to improve the tracking of staff entering and exiting SCCC.</i> ▪ <i>Creation/modification of interfaces necessary for the exchange of data between OMNI, WOMS, HRMS and any other systems necessary to meet the business needs / requirements of this project.</i> ▪ <i>Installation of barcode scanners at designated egress points, ingress points and staff accountability muster areas necessary to meet the business needs / requirements.</i> ▪ <i>Modification of standard operating procedures to use the new scanners.</i> ▪ <i>Piloting the use of barcode scanners with new OMNI screens and code at Stafford Creek Correctional Center (SCCC).</i> <p><i>The scope of this project does not include:</i></p> <ul style="list-style-type: none"> ▪ <i>The use of barcode scanners at all DOC work locations.</i> ▪ <i>Changes to WOMS that are not related to business needs / requirements of this project.</i> ▪ <i>Tracking staff location within the secure perimeter.</i> ▪ <i>Any wiring to the infrastructure at SCCC.</i> |
| <p>Stakeholder Groups <i>Check all that Apply</i></p> | <p> <input type="checkbox"/> Workgroup <input type="checkbox"/> Single Division, please describe Click here to enter text. <input checked="" type="checkbox"/> Multiple Divisions <input type="checkbox"/> Offenders within Institutions <input type="checkbox"/> Offenders under Supervision <input type="checkbox"/> DOC as a whole <input type="checkbox"/> Board/Commission/Task Force, please describe: Click here to enter text. <input type="checkbox"/> Other State Agencies, please describe: Click here to enter text. <input type="checkbox"/> Local Government, please describe: Click here to enter text. <input type="checkbox"/> Federal Government, please describe: Click here to enter text. </p> |



Project Charter
Facility Access Control Tracking (FACT) / Staff Accountability
9/22/2016

| | | | | | | | | | | | | | | | | | | | |
|---|---|---|--|------------------------------------|---|---|----------------------------------|--|---|--|--|---|--|---|--|---|---|--|--|
| | <input type="checkbox"/> Public/Community, please describe: Click here to enter text. <input type="checkbox"/> Other, please describe: Click here to enter text. | | | | | | | | | | | | | | | | | | |
| Implementation Impact <i>Check all that Apply</i> | <table border="0"> <tr> <td><input type="checkbox"/> All of DOC</td> <td><input type="checkbox"/> Health Services</td> <td><input type="checkbox"/> Offenders</td> </tr> <tr> <td><input checked="" type="checkbox"/> Prisons</td> <td><input type="checkbox"/> Local Government</td> <td><input type="checkbox"/> WAC/RCW</td> </tr> <tr> <td><input type="checkbox"/> Community Corrections</td> <td><input type="checkbox"/> State Government</td> <td><input type="checkbox"/> Agency Policy</td> </tr> <tr> <td><input type="checkbox"/> Policy Support Division</td> <td><input type="checkbox"/> Federal Government</td> <td><input checked="" type="checkbox"/> IT Systems</td> </tr> <tr> <td><input checked="" type="checkbox"/> Administrative Services</td> <td><input checked="" type="checkbox"/> Public/Community</td> <td><input checked="" type="checkbox"/> Employee Training</td> </tr> <tr> <td><input checked="" type="checkbox"/> Correctional Industries</td> <td></td> <td></td> </tr> </table> | <input type="checkbox"/> All of DOC | <input type="checkbox"/> Health Services | <input type="checkbox"/> Offenders | <input checked="" type="checkbox"/> Prisons | <input type="checkbox"/> Local Government | <input type="checkbox"/> WAC/RCW | <input type="checkbox"/> Community Corrections | <input type="checkbox"/> State Government | <input type="checkbox"/> Agency Policy | <input type="checkbox"/> Policy Support Division | <input type="checkbox"/> Federal Government | <input checked="" type="checkbox"/> IT Systems | <input checked="" type="checkbox"/> Administrative Services | <input checked="" type="checkbox"/> Public/Community | <input checked="" type="checkbox"/> Employee Training | <input checked="" type="checkbox"/> Correctional Industries | | |
| <input type="checkbox"/> All of DOC | <input type="checkbox"/> Health Services | <input type="checkbox"/> Offenders | | | | | | | | | | | | | | | | | |
| <input checked="" type="checkbox"/> Prisons | <input type="checkbox"/> Local Government | <input type="checkbox"/> WAC/RCW | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> Community Corrections | <input type="checkbox"/> State Government | <input type="checkbox"/> Agency Policy | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> Policy Support Division | <input type="checkbox"/> Federal Government | <input checked="" type="checkbox"/> IT Systems | | | | | | | | | | | | | | | | | |
| <input checked="" type="checkbox"/> Administrative Services | <input checked="" type="checkbox"/> Public/Community | <input checked="" type="checkbox"/> Employee Training | | | | | | | | | | | | | | | | | |
| <input checked="" type="checkbox"/> Correctional Industries | | | | | | | | | | | | | | | | | | | |
| Risks, Assumptions & Constraints | <p>Risks</p> <ul style="list-style-type: none"> ▪ <i>The use of remote barcode scanners that will need to be docked to upload their data to OMNI is a new requirement that may not be achievable and may need to be reworked with alternative solutions.</i> ▪ <i>For implementation to be successful, WOMs data must be accurate and unique to each barcode. Without addressing this, the pilot will not be successful.</i> ▪ <i>For implementation to be successful, OMNI employee identification information must be reviewed and updated to ensure it accurately reflects the staffing at SCCC.</i> <p>Assumptions</p> <ul style="list-style-type: none"> ▪ <i>The OMNI development for this project will be done by Sierra-Cedar maintenance staff.</i> ▪ <i>The Gartner finding that OMNI is too large will not prohibit the inclusion of FACT/Staff Accountability functionality.</i> ▪ <i>The automated functionality is expected to significantly reduce the time spent accounting for staff during drills and significant events.</i> <p>Constraints</p> <ul style="list-style-type: none"> • <i>The use of this new functionality is limited by the ability of staff at the facility being able to access OMNI at the time of a drill or event.</i> ▪ <i>The success of this automation effort is limited by the willingness of staff to change business processes and try a different approach.</i> ▪ <i>The revocation of staff access rights at a given facility is currently not automated and dependent upon staff action.</i> ▪ <i>Badges used for scanning need to be generated from WOMS with each badge having a unique bar code identifier for this functionality to provide accurate information on staff authorized to enter the secured area.</i> ▪ <i>Wireless barcode scanners do not need to be docked to transmit data.</i> ▪ <i>The Prisons Division will fund the costs associated with the project, which include equipment, travel, training and communications costs.</i> | | | | | | | | | | | | | | | | | | |
| | <p>In accordance with <i>Office of the Chief Information Officer (OCIO) Standard No. 141.10 Securing Information Technology Assets</i>, an IT Security Assessment is required for this project.</p> <p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> | | | | | | | | | | | | | | | | | | |



Project Charter
Facility Access Control Tracking (FACT) / Staff Accountability
9/22/2016

| | | |
|----------------------------|---|-------------------------------|
| OCIO Oversight | In accordance with the <i>Office of the Chief Information Officer (OCIO) Standard No. 121 Severity and Risk Assessment</i> , this project will require the following level of oversight: <input type="checkbox"/> Level 1 (low) <input checked="" type="checkbox"/> Level 2 (medium) <input type="checkbox"/> Level 3 (high) | |
| Project Schedule | Key Dates & Milestones | Target Completion Date |
| | <i>Project Kickoff</i> | 9/2016 |
| | <i>Planning</i> | 9/30/2016 |
| | <i>Design</i> | 11/30/2016 |
| | <i>Development</i> | 2/28/2017 |
| | <i>Testing</i> | 4/28/2017 |
| | <i>User Acceptance</i> | 5/12/2017 |
| | <i>Training</i> | 5/31/2017 |
| | <i>Software Implementation</i> | 6/15/2017 |
| | <i>Stabilization</i> | 7/15/2017 |
| | <i>Business Implementation</i> | 7/17/2017 |
| | <i>Monitor, audit and refine the process</i> | 9/17/2017 |
| <i>Project Closeout</i> | 10/31/2017 | |
| Approval to Proceed | | |
| Date | Name and Title | Signature |
| | Stephen Sinclair, Assistant Secretary of Prisons | |
| | Tomas Fithian, Administrator, Security & Emergency Management | |
| | Charlotte Headley, Chief of Security | |
| | Jeanette Sevedge-App, Director - Enterprise Project Management & Business Solutions | |
| | Kelley Barnard, IT Project Manager | |